STIC Biotechnology Systems Branch

CRF Problem Report

The Biotechnology Systems Branch of the Scientific and Technical Information Center (STIC) experienced a problem when processing the following computer readable form (CRF):

Application Serial Number: _10/552,909_
Filing Date: _10/13/2005_
Date Processed by STIC: _08/22/2006_

STIC Contact: **Mark Spencer: Telephone: 571-272-2510; Fax: 571-273-0221**

Nature of CRF Problem:

____ (circle one) Damaged or Unreadable (for Unreadable, see attached)
____ Blank (no files on CRF) (see attached)
____ Empty file (filename present, but no bytes in file) (see attached)
____ Wrong file saved to CRF (invention title, docket number, or applicant(s) do not
     match those in official application) (see attached)
____ Not saved in ASCII text
____ Sequence Listing was embedded in the file. According to Sequence Rules,
     submitted file should **only** be the Sequence Listing.
____ Did not contain a Sequence Listing. (see attached sample)
__✓__ Other: _Invalid Sequence Listing format._
Cannot claim a prior application filed before
1st of July - 1998

**PLEASE USE THE CHECKER VERSION 4.4.0 PROGRAM TO REDUCE ERRORS.
SEE BELOW FOR ADDRESS:**
     http:/www.uspto.gov/web/offices/pac/checker/chkrnote.htm

1. EFS-Bio **(<http://www.uspto.gov/ebc/efs/downloads/documents.htm>** , **EFS Submission
   User Manual** - ePAVE)
2. **U.S. Postal Service:** Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450
3. **Hand Carry, Federal Express, United Parcel Service, or other delivery service (EFFECTIVE 01/14/05):**
   U.S. Patent and Trademark Office, Mail Stop Sequence, Customer Window, Randolph Building, 401 Dulany Street,
   Alexandria, VA 22314

Revised 01/20/06

10/552,909 8/22/0

(Sample of Submitted file)

```
SEQUENCE LISTING
(1) GENERAL INFORMATION:
(iii) NUMBER OF SEQUENCES: 9
(2) INFORMATION FOR SEQ ID NO: 1:
(i) SEQUENCE CHARACTERISTICS:
(A) LENGTH: 27 base pairs
(B) TYPE: nucleic acid
(C) STRANDEDNESS: single
(D) TOPOLOGY: linear
(ii) MOLECULAR TYPE: DNA
(xi) SEQUENCE DESCRIPTION: SEQ ID NO: 1
AACggatccaaaacgctgcctccgcga 27

(2) INFORMATION FOR SEQ ID NO: 2:
(i) SEQUENCE CHARACTERISTICS:
(A) LENGTH: 25 base pairs
(B) TYPE: nucleic acid
(C) STRANDEDNESS: single
(D) TOPOLOGY: linear
(ii) MOLECULAR TYPE: DNA
(iv) ANTI-SENSE: YES
(xi) SEQUENCE DESCRIPTION: SEQ ID NO: 2
TAGACGCTGCAGGAGGCGCCTGGCT 25

(2) INFORMATION FOR SEQ ID NO: 3:
(i) SEQUENCE CHARACTERISTICS:
(A) LENGTH: 269 base pairs
(B) TYPE: nucleic acid
(C) STRANDEDNESS: single
(D) TOPOLOGY: linear
(ii) MOLECULAR TYPE: DNA
(xi) SEQUENCE DESCRIPTION: SEQ ID NO: 3
ggatccaaaacgctgcctccgcgacagggcggaggacggagggcgtcccaggatcgtggg 60
ccctgggcctgacgcctcggagcactccctgctccgagcgggcccgatgtggtggaagct 120
cgggagcgcgggagccggggaaggccgcgggcagccgtcgggggtccccgatccgagcc 180
ccgcggccccgggctggcggtgtcggctgcaatccggcgggcacggccggccgggctggg 240
ctcttggggcagccaggcgcctccttcag 269

(2) INFORMATION FOR SEQ ID NO: 4:
(i) SEQUENCE CHARACTERISTICS:
(A) LENGTH: 84 base pairs
(B) TYPE: nucleic acid
(C) STRANDEDNESS: single
(D) TOPOLOGY: linear
(ii) MOLECULAR TYPE: DNA
(xi) SEQUENCE DESCRIPTION: SEQ ID NO: 4
AGAAGACGAagctaagcagggtcgggcctggttagtacttggatgggagaccgcctggga 60
ataccgggtgctgtaggctttttg 84

(2) INFORMATION FOR SEQ ID NO: 5:
(i) SEQUENCE CHARACTERISTICS:
(A) LENGTH: 88 base pairs
(B) TYPE: nucleic acid
(C) STRANDEDNESS: single
(D) TOPOLOGY: linear
(ii) MOLECULAR TYPE: DNA
(iv) ANTI-SENSE: YES
(xi) SEQUENCE DESCRIPTION: SEQ ID NO: 5
TCGACAAAAAGCCTACAGCACCCGGTATTCCCAGGCGGTCTCCCATCCAAGTACTAACCA 60
GGCCCGACCCTGCTTAGCTTCGTCTTCT 88

(2) INFORMATION FOR SEQ ID NO: 6:
(i) SEQUENCE CHARACTERISTICS:
(A) LENGTH: 367 base pairs
(B) TYPE: nucleic acid
```

This is invalid Sequence Listing format. FYI: all US applications which cannot claim a prior application filed before July 1st 1998 must be in New Sequence rules format. This Sequence listing is in old Sequence rules format. See Sample Sequence listing attached for valid format.

1

Consult this

<110>   Smith, John; Smithgene Inc.

<120>   Example of a Sequence Listing

<130>   01-00001

<140>   PCT/EP98/00001
<141>   1998-12-31

<150>   US 08/999,999
<151>   1997-10-15

<160>   4

<170>   PatentIn version 2.0

<210>   1
<211>   389
<212>   DNA
<213>   Paramecium sp.

<220>
<221>   CDS
<222>   (279)...(389)

<300>
<301>   Doe, Richard
<302>   Isolation and Characterization of a Gene Encoding a
         Protease from Paramecium sp.
<303>   Journal of Genes
<304>   1
<305>   4
<306>   1-7
<307>   1988-06-31
<308>   123456
<309>   1988-06-31

<400>   1
agctgtagtc attcctgtgt cctcttctct ctgggcttct caccctgcta atcagatctc   60

agggagagtg tcttgaccct cctctgcctt tgcagcttca caggcaggca ggcaggcagc   120

tgatgtggca attgctggca gtgccacagg cttttcagcc aggcttaggg tgggttccgc   180

cgcggcgcgg cggcccctct cgcgctcctc tcgcgcctct ctctcgctct cctctcgctc   240

```
ggacctgatt   aggtgagcag   gaggagggggg   cagttagc        atg  gtt  tca  atg  ttc  agc   296
                                                         Met  Val  Ser  Met  Phe  Ser
                                                          1                   5

ttg  tct  ttc  aaa  tgg  cct  gga  ttt  tgt  ttg  ttt  gtt  tgt  ttg  ttc  caa   344
Leu  Ser  Phe  Lys  Trp  Pro  Gly  Phe  Cys  Leu  Phe  Val  Cys  Leu  Phe  Gln
              10                       15                      20

tgt  ccc  aaa  gtc  ctc  ccc  tgt  cac  tca  tca  ctg  cag  ccg  aat  ctt        389
Cys  Pro  Lys  Val  Leu  Pro  Cys  His  Ser  Ser  Leu  Gln  Pro  Asn  Leu
              25                  30                      35
```

<210>   2
<211>   37
<212>   PRT
<213>   Paramecium sp.

<400>   2
```
Met  Val  Ser  Met  Phe  Ser  Leu  Ser  Phe  Lys  Trp  Pro  Gly  Phe  Cys  Leu
 1                   5                   10                      15

Phe  Val  Cys  Leu  Phe  Gln  Cys  Pro  Lys  Val  Leu  Pro  Cys  His  Ser  Ser
              20                  25                      30

Leu  Gln  Pro  Asn  Leu
              35
```

<210>   3
<211>   11
<212>   PRT
<213>   Artificial Sequence

<220>
<223>   Designed peptide based on size and polarity to act as a
            linker between the alpha and beta chains of Protein XYZ.

<400>   3
```
Met  Val  Asn  Leu  Glu  Pro  Met  His  Thr  Glu  Ile
 1                   5                   10
```

<210>   4
<400>   4
000

identifiers and their accompanying information as shown in the following table. The numeric identifier shall be used only in the "Sequence Listing." The order and presentation of the items of information in the "Sequence Listing" shall conform to the arrangement given below. Each item of information shall begin on a new line and shall begin with the numeric identifier enclosed in angle brackets as shown. The submission of those items of information designated with an "M" is mandatory. The submission of those items of information designated with an "O" is optional. Numeric identifiers <110> through <170> shall only be set forth at the beginning of the "Sequence Listing." The following table illustrates the numeric identifiers.

Numeric Identifier	Definition	Comments and Format	Mandatory (M) or Optional (O)
<110>	Applicant	Preferably max. of 10 names; one name per line; preferable format: Surname, Other Names and/or Initials	M
<120>	Title of Invention		M
<130>	File Reference	Personal file reference	M when filed prior to assignment of appl. number
<140>	Current Application Number	Specify as: US 07/999,999 or PCT/US96/99999	M, if available
<141>	Current Filing Date	Specify as: yyyy-mm-dd	M, if available
<150>	Prior Application Number	Specify as: US 07/999,999 or PCT/US96/99999	M, if applicable include priority documents under 35 USC 119 and 120
<151>	Prior Application Filing Date	Specify as: yyyy-mm-dd	M, if applicable
<160>	Number of SEQ ID NOs	Count includes total number of SEQ ID NOs	M
<170>	Software	Name of software used to create the Sequence Listing	O
<210>	SEQ ID NO:#:	Response shall be an integer representing the SEQ ID NO shown	M
<211>	Length	Respond with an integer expressing the number of bases or amino acid residues	M

<212>	Type	Whether presented sequence molecule is DNA, RNA, or PRT (protein). If a nucleotide sequence contains both DNA and RNA fragments, the type shall be "DNA." In addition, the combined DNA/RNA molecule shall be further described in the <220> to <223> feature section.	M
<213>	Organism	Scientific name, i.e. Genus/species, Unknown or Artificial Sequence. In addition, the "Unknown" or "Artificial Sequence" organisms shall be further described in the <220> to <223> feature section.	M
<220>	Feature	Leave blank after <220>. <221-223> provide for a description of points of biological significance in the sequence.	M, under the following conditions: if "n," "Xaa," or a modified or unusual L-amino acid or modified base was used in a sequence; if ORGANISM is "Artificial Sequence" or "Unknown"; if molecule is combined DNA/RNA.
<221>	Name/Key	Provide appropriate identifier for feature, preferably from WIPO Standard ST.25 (1998), Appendix 2, Tables 5 and 6	M, under the following conditions: if "n," "Xaa," or a modified or unusual L-amino acid or modified base was used in a sequence
<222>	Location	Specify location within sequence; where appropriate state number of first and last bases/amino acids	M, under the following conditions: if "n," "Xaa," or a modified or unusual L-amino acid or modified

		in feature	base was used in a sequence
<223>	Other Infor- mation	Other relevant information; four lines maximum	M, under the fol- lowing conditions: if "n," "Xaa," or a modified or un- usual L-amino acid or modified base was used in a sequence; if ORGANISM is "Artificial Sequence" or "Unknown"; if molecule is com- bined DNA/RNA.
<300>	Publication Information	Leave blank after <300>	O
<301>	Authors	Preferably max of ten named authors of publi- cation; specify one name per line; preferable format: Surname, Other Names and/or Initials	O
<302>	Title		O
<303>	Journal		O
<304>	Volume		O
<305>	Issue		O
<306>	Pages		O
<307>	Date	Journal date on which data published; specify as yyyy-mm- dd, MMM-yyyy or Season-yyyy	O
<308>	Database Accession Number	Accession number assigned by data- base including database name	O
<309>	Database Entry Date	Date of entry in database; specify as yyyy-mm-dd or MMM-yyyy	O
<310>	Patent Document Number	Document number; for patent-type citations only. Specify as, for example, US 07/999,999	O

<311>	Patent Filing Date	Document filing date, for patent-type citations only; specify as yyyy-mm-dd	O
<312>	Publication Date	Document publication date, for patent-type citations only; specify as yyyy-mm-dd	O
<313>	Relevant Residues	FROM (position) TO (position)	O
<400>	Sequence	SEQ ID NO should follow the numeric identifier and should appear on the line preceding the actual sequence	M

5. Section 1.824 is revised to read as follows:

   1.824 Form and format for nucleotide and/or amino acid sequence submissions in computer readable form.

(a) The computer readable form required by   1.821(e) shall meet the following specifications:

(1) The computer readable form shall contain a single "Sequence Listing" as either a diskette, series of diskettes, or other permissible media outlined in paragraph (c) of this section.

(2) The "Sequence Listing" in paragraph (a) (1) of this section shall be submitted in American Standard Code for Information Interchange (ASCII) text. No other formats shall be allowed.

(3) The computer readable form may be created by any means, such as word processors, nucleotide/amino acid sequence editors or other custom computer programs; however, it shall conform to all specifications detailed in this section.

(4) File compression is acceptable when using diskette media, so long as the compressed file is in a self-extracting format that will decompress on one of the systems described in paragraph (b) of this section.

(5) Page numbering shall not appear within the computer readable form version of the "Sequence Listing" file.

(6) All computer readable forms shall have a label permanently affixed thereto on which has been hand-printed or typed: the name of the applicant, the title of the invention, the date on which the data were recorded on the computer readable form, the operating system used, a reference number, and an application serial number and filing date, if known.

(b) Computer readable form submissions must meet these format requirements:

(1) Computer: IBM PC/XT/AT, or compatibles, or Apple Macintosh;

(2) Operating System: MS-DOS, Unix or Macintosh;